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PTO/SB/01 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

☐ Declaration Submitted with Initial Filing  
OR  
☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number	11321-P014US
First Named Inventor	Richard E. Smalley
<b>COMPLETE IF KNOWN</b>	
Application Number	09 / 935,995
Filing Date	August 23, 2001
Group Art Unit	
Examiner Name	Not yet assigned

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Polymer-Wrapped Single Wall Carbon Nanotubes

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY)

08/23/2001

as United States Application Number or PCT International

Application Number 09/935,995

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

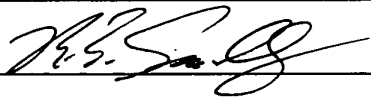
☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 2]

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## DECLARATION — Utility or Design Patent Application

Direct all correspondence to: <input checked="" type="checkbox"/> Customer Number or Bar Code Label <input type="text"/>				OR <input type="checkbox"/> Correspondence address below	
Name Ross Spencer Garsson Winstead Sechrest & Minick P.C.					
Address P.O. Box 50784 1201 Main Street					
City Dallas			State Texas		ZIP 75250-0784
Country United States of America		Telephone 512-370-2870		Fax 214-745-5390	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.					
NAME OF SOLE OR FIRST INVENTOR :				<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) Richard E.			Family Name or Surname Smalley		
Inventor's Signature 				Date 10/2/01	
Residence: City Houston		State Texas	Country US	Citizenship US	
Mailing Address 1816 Bolsover Street					
City Houston		State Texas	ZIP 77005	Country US	
NAME OF SECOND INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any)) Daniel T.			Family Name or Surname Colbert		
Inventor's Signature				Date	
Residence: City Houston		State Texas	Country US	Citizenship US	
Mailing Address 1911 Milford Street					
City Houston		State Texas	ZIP 77098	Country US	
<input checked="" type="checkbox"/> Additional inventors are being named on the <u>1</u> supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.					

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<b>City</b> Dallas		<b>State</b> Texas		<b>ZIP</b> 75250-0784	
<b>Country</b> United States of America		<b>Telephone</b> 512-370-2870		<b>Fax</b> 214-745-5390	
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<b>NAME OF SOLE OR FIRST INVENTOR :</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor			
<b>Given Name</b> (first and middle [if any]) Richard E.			<b>Family Name</b> or Surname Smalley		
<b>Inventor's Signature</b>					<b>Date</b>
<b>Residence: City</b> Houston		<b>State</b> Texas		<b>Country</b> US	
<b>Citizenship</b> US					
<b>Mailing Address</b> 1816 Bolsover Street					
<b>City</b> Houston		<b>State</b> Texas		<b>ZIP</b> 77005	
<b>Country</b> US					
<b>NAME OF SECOND INVENTOR:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor			
<b>Given Name</b> (first and middle [if any]) Daniel T.			<b>Family Name</b> or Surname Colbert		
<b>Inventor's Signature</b>					<b>Date</b>
<b>Residence: City</b> Houston		<b>State</b> Texas		<b>Country</b> US	
<b>Citizenship</b> US					
<b>Mailing Address</b> 1911 Milford Street					
<b>City</b> Houston		<b>State</b> Texas		<b>ZIP</b> 77098	
<b>Country</b> US					
<input checked="" type="checkbox"/> Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.					

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## DECLARATION

ADDITIONAL INVENTOR(S)  
Supplemental Sheet  
Page 2 of 2

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Ken A.		Smith	
Inventor's Signature <i>KAT</i>		Date <i>10.9.01</i>	
Residence: City	Katy	State	Texas
Country	US	Citizenship	US
Mailing Address 333 Dominion, Apartment 1334			
Mailing Address			
City	Katy	State	Texas
ZIP	77450	Country	US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Michael		O'Connell	
Inventor's Signature		Date	
Residence: City	Houston	State	Texas
Country	US	Citizenship	US
Mailing Address 2111 Holly Hall, Apartment 2702			
Mailing Address			
City	Houston	State	Texas
ZIP	77054	Country	US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City		State	
Country		Citizenship	
Mailing Address			
Mailing Address			
City		State	
ZIP		Country	

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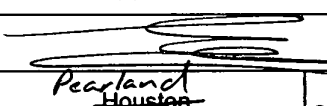
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Inventor's Signature		Date	
Residence: City	Katy	State	Texas
		Country	US
Citizenship			
US			
Mailing Address			
333 Dominion, Apartment 1334			
Mailing Address			
City	Katy	State	Texas
		ZIP	77450
		Country	US
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Given Name (first and middle [if any])		Family Name or Surname	
Michael		O'Connell	
Inventor's Signature		Date	
		10/9/01	
Residence: City	Pearland Houston	State	Texas
		Country	US
Citizenship			
US			
Mailing Address			
2414 Holly Hall, Apartment 2702- 3411 Eaglewood ct.			
Mailing Address			
City	Houston	State	Texas
		ZIP	77054
		Country	US
Name of Additional Joint Inventor, If any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
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Inventor's Signature		Date	
Residence: City		State	
		Country	
Citizenship			
Mailing Address			
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